

Alabama House of Representatives



Functional Analysis & Records Disposition Authority

**Presented to the
State Records Commission
October 23, 2013**

Table of Contents

Functional and Organizational Analysis of the Alabama House of Representatives	3
Sources of Information.....	3
Historical Context	3
Agency Organization	3
Agency Function and Subfunctions	4
Analysis of Record Keeping System and Records Appraisal of the Alabama House of Representatives	7
Agency Record Keeping System	7
Records Appraisal	7
Permanent Records List	11
Alabama House of Representatives Records Disposition Authority	12
Explanation of Records Requirements.....	12
Records Disposition Requirements	13
Overseeing	13
Legislating.....	13
Serving	15
Administering Internal Operations: Managing the Agency	15
Administering Internal Operations: Managing Finances	17
Administering Internal Operations: Managing Human Resources	18
Administering Internal Operations: Managing Properties, Facilities, and Resources	19
Requirements and Recommendations for Implementing the Records Disposition Authority (RDA)	21

Functional and Organizational Analysis of the Alabama House of Representatives

Sources of Information

- Staff Members of the Alabama House of Representatives
- Constitutions of Alabama (1819, 1861, 1865, 1868, 1875, and 1901)
- Code of Alabama 1975 § 29-1-1.2 through § 29-1-24; § 29-4-30 through § 29-4-42
- Alabama Department of Archives and History, Records relating to the House of Representatives
- Alabama Law Institute, *The Legislative Process: A Handbook for Alabama Legislators*, 3rd ed.
- Alabama Government Manual (2010) pp. 615-616, pp. 618-619
- David L. Martin, *Alabama's State and Local Governments*, Kendall/Hunt Publishing Company (1975).
- House of Representatives website: <http://www.legislature.alabama.gov/house/house.html>

Historical Context

The Legislature of Alabama evolved from the territorial general assemblies of the Mississippi Territory (1798-1817) and the Alabama Territory (1817-1819) as first established by the terms of the Northwest Ordinance of 1787. The first general assembly of the Alabama Territory was held at the temporary seat of government at St. Stephens, Washington County. The next temporary seat of government was Huntsville, Madison County, where the Constitution of Alabama of 1819 was written and approved. The Constitution of Alabama of 1819 established a bicameral legislative body, the Senate and the House of Representatives. The Constitution of Alabama of 1901 further defines the role and responsibilities of the two houses of the Legislature.

Agency Organization

The Constitution of Alabama 1901 defines that the Alabama House of Representatives (hereafter referred to as “the House”) can have no more than 105 members--its present size--unless new counties are created. The size of the membership is based strictly on population as determined by census tracts, enumeration districts, and block groups. The Constitution of Alabama 1901 requires that House members be at least 21 years old at the time of the election, and that they be U.S. citizens who have lived in Alabama for at least three (3) years and in their district for at least one (1) year prior to election. Members of the House are elected from single-member districts for four-year terms with no term limits. Since both houses of the Legislature operate mainly through committees in doing their work, the House of Representatives has in place a number of standing committees, interim committees/task forces, and permanent committees. Each is set up to consider bills relating to a particular subject of legislation.

The leader of the House is the speaker of the House, elected by House members during the organizational session held during the January following each four-year election. The speaker

keeps order and decorum in the House and recognizes members to speak. During the organizational session, the speaker assigns members to various House committees. If the speaker is absent, the speaker pro tempore, elected from House members as well, assumes the position.

To carry out its daily operations, the House is staffed with a clerk of the House, chief clerk, assistants, clerks, and other necessary personnel.

In addition, the Reapportionment Office and Legislative Computer Center are operated jointly by the House of Representatives and the Senate.

Agency Function and Subfunctions

The mandated functions of Alabama House of Representatives are, under the supervision of the House Legislative Council, to create and amend laws, make appropriations, propose constitutional amendments, participate in the impeachment process, establish or abolish governmental units and agencies, investigate governmental operations, hold hearings, create corporate bodies, and confirm or reject gubernatorial appointments. It is one of the agencies responsible for performing the Policy and Statute Development function of Alabama government.

In performance of its mandated functions, the Alabama House of Representatives may engage in the following subfunctions.

- **Overseeing.** In 1945, the Joint Legislative Council was created to oversee the operations of the Legislative Reference Service. The council consists of the following members from the Alabama Senate: President, President Pro Tempore of the Senate, six members of the Senate elected by the Senate, and chairs of the Senate's standing committees on finance and taxation, the judiciary, rules, and governmental affairs. It also contains the following members from the House of Representatives: Speaker of the House, Speaker Pro Tempore of the House, six members of the House of Representatives elected by the House, and chairs of the standing committees on government finance and appropriations, judiciary, rules, and local government of the House. Council members are elected at the regular legislative session every four year. Members of the Alabama Senate and of the House also serve as members of their respective Legislative Councils. The House Legislative Council is charged by law with a number of duties, including the development of policy proposals for the consideration of the Legislature and general supervision of the operations of the House.
- **Legislating.** The House is primarily responsible for exercising the law-making power of the State. Although bills may be introduced into either chamber of the Legislature, revenue bills must originate in the House. After a new bill is introduced, it is read for the first time by title only. The bill is then assigned to the appropriate committee by the Speaker of the House. The standing committee studies the bill, holds hearings, and amends it if necessary. If the bill is reported out of committee, the committee chair signs the report and the report is delivered to the House clerk, which constitutes the second reading. The bill is read the third time at length. If the bill receives a majority vote it is

declared passed and sent to the Senate for follow-up. If the bill receives a majority vote of the Senate, it then comes back to the House for enrollment. If the bill is amended in the Senate, it is then necessary to send it back to the House for concurrence on amendment. If the House does not concur in the amendment, a conference committee is then chosen from each house to discuss the bill. If both houses accept the conference committee report, the bill is deemed passed and goes to the governor for his/her action. The enrolled bill becomes law if the governor signs it; if the governor does not act within certain time period; or both houses pass it over the governor's veto. In addition, the House, along with the Senate, possesses non-lawmaking powers. Among the more important non-law-making functions are conducting impeachment proceedings, exercising general supervision over the operation of state agencies through the sunset reviews, and declaring the results of elections for state officers.

- **Serving.** One of the major obligations for members of the House is providing services to their constituents. From time to time, constituents may request assistance with problems, which usually vary widely. Providing service to their constituents make members visible in their districts. In carrying out this subfunction, staff members of the House respond to various requests from constituents on behalf of members of the House.
- **Administering Internal Operations.** A significant portion of the agency's work includes general administrative, financial, and personnel activities performed to support the programmatic areas of the agency.

Managing the Agency: Activities include internal office management activities common to most government agencies such as corresponding and communication; scheduling; meeting; documenting policy and procedures; reporting; litigating; drafting, promoting, or tracking legislation; publicizing and providing information; managing records; and managing information systems and technology.

Managing Finances: Activities involved in managing finances may include the following: budgeting (preparing and reviewing a budget package, submitting the budget package to the Department of Finance; documenting amendments and performance of the budget); purchasing (requisitioning and purchasing supplies and equipment, receipting and invoicing for goods, and authorizing payment for products received); accounting for the expenditure, encumbrance, disbursement, and reconciliation of funds within the agency's budget through a uniform system of accounting and reporting; authorizing travel; contracting with companies of individuals; bidding for products and services; and assisting in the audit process.

Managing Human Resources: Activities involved in managing human resources may include the following: recruiting and hiring eligible individuals to fill vacant positions within the agency; providing compensation and benefits to employees; supervising employees (evaluating performance, disciplining, granting leave, and monitoring the accumulation of leave); and providing continuing education for employees.

Managing Properties, Facilities, and Resources: Activities involved in managing properties, facilities, and resources may include the following: inventorying and accounting for non-consumable property and reporting property information to the appropriate authority; constructing buildings and facilities; leasing and/or renting offices or facilities; providing for security and/or insurance for property; and assigning, inspecting, and maintaining agency property, including vehicles.

Analysis of Record Keeping System and Records Appraisal of the Alabama House of Representatives

Agency Record Keeping System

The agency currently operates a hybrid record keeping system composed of paper and electronic records.

Paper-Based System: The agency continues to utilize paper as a component of its records keeping system.

Computer-Based System: The Legislative Computer Center is responsible for the electronic records of the Senate, House of Representatives, and Legislative Reference Service. The center has over twenty servers that run Windows 2003 and two database Oracle servers. All servers are backed up each night Monday through Friday. On the weekend, the database servers are backed up to tape, while the Windows servers have a full image backup to disk. On Mondays, the backup server containing the previous week's Windows server disk backups are backed up to tape. On Tuesdays, the backup tapes are picked up by ACCESS and stored at the company's Montgomery location in its fireproof, waterproof, climate controlled underground facility. The backups are on a two-month rotation. The House's email server is located and maintained by the Alabama Supercomputer Authority. The House uses Microsoft Office 2007 Standard suite. The House's staff uses FHRS for accounting and GHRS for payroll management. These programs are managed by ISD.

Records Appraisal

The following is a discussion of the two major categories of records created and/or maintained by Alabama House of Representatives: Temporary Records and Permanent Records.

I. Temporary Records. Temporary records should be held for what is considered their active life and disposed of once all their fiscal, legal, and administrative requirements have been met. Some of the temporary records created by the department are discussed below:

- **Jimmy Sheets.** Known as "Tab Sheets" in the Senate, the Jimmy Sheets are a chronological log of all motions, bill actions, roll calls, and all other official floor actions in the House, recorded by a clerk in the House chamber. It is from this record that the journal of the House is compiled. The value of the log diminishes after the House Journal is published.
- **House Voting Records.** This series documents each House member's vote on particular items of legislation. Since identical information is also available in the House Journal, this series should only be retained until the Journal is published.

II. Permanent Records. The Government Services Division recommends the following records as permanent.

Overseeing

- **Meeting Agendas, Minutes, and Packets of the House Legislative Council.** This series contains information on proposed and executed proceedings of the council. In addition to minutes, this series also includes meeting agendas and other supporting or reference documents. The meeting minutes of the council provide important documentation of the council's actions that may not be found elsewhere. **(Bibliographic Title: Meeting Agendas, Minutes, and Packets of the House Legislative Council)**

Legislating

Committee Clerks Office

- **Dead Bills.** This series consists of bills and other related documents that do not pass the House. This series is permanent as it documents the lawmaking process. **(Bibliographic Title: Bills and Resolutions)**
- **Engrossed Bills.** Following passage of a bill, including any substitutions and amendments, in the House, the bill is engrossed, a copy is produced of the bill as it was amended in the House, in preparation to being sent to the Senate. This series is permanent as it documents the lawmaking process. **(Bibliographic Title: Engrossed Bills)**
- **House Committee Files.** This series consists of records of various committees within the House. Committees may include standing committees, interim committees, task forces, and permanent committees. Included in the files are copies of the bills referred to the committee, fiscal notes, requests for public hearings, information on committee amendments and substitutes, actions taken on each bill, roll calls for bills, committee reports, and other related documents. Since the House functions mainly through committees in considering the merits of bills, this series should be preserved as permanent records to document the important phase of the legislative process. **(Bibliographic Title: Committee Files of the Legislature)**

Journal Office

- **House Journals, Registers, Resolutions, and Joint Resolutions.** Alabama's Constitution requires each house of the Legislature to keep a journal of its proceedings, which must be certified, indexed, and published after the adjournment of the session to which it relates. Registers are the handwritten bill status listed on all legislation introduced and includes all actions to a bill. They are used as a tool to check and index the House Journal. The Alabama Legislature employs two types of resolutions: simple resolutions relate to the affairs of a single house and are passed by that house only, while joint resolutions deal with matters affecting the entire Legislature and must be passed by both houses. All of these records are published in bound volumes for permanent

preservation. **(Bibliographic Title: House Journals, Registers, Resolutions, and Joint Resolutions)**

Serving

- **Member Service Files (Database).** This database contains an electronic version of activities relating to services rendered by the staff of the House, on behalf of members of the House, to constituents. It should be preserved as supplemental information on the role of House members in their communities. **(Bibliographic Title: Member Activity Files)**
- **House Member Photo Gallery (Database).** This database provides the public with an opportunity to view and share pictures of activities of members of the House during the legislative session. Photos, taken by the staff of the Member Services Office, are grouped by the date and available for download and printout. This database should be preserved to document activities of members of the House. **(Bibliographic Title: Photographs of House Members)**

Administering Internal Operations

Clerk of the House

- **Publications.** The House creates various publications including, but not limited to, directories of House members and staff, and rules of the House. These publications should be preserved as part of the State Publications Collection. **(Bibliographic Title: State Publications)**
- **House Membership Binders.** This series consists of biographical data for all members of the House. Information may include name, contact data, date of birth, education, military service, hobbies, occupation, religion, and family members. Also included are the original copies of the Oath of Office of House members. The binders are created every four years after quadrennial elections. These binders provide detailed information on House members which is not available elsewhere. **(Bibliographic Title: House Membership Files)**
- **House Members' Letters of Resignation.** These records document the resignation of House members. **(Bibliographic Title: House Members' Letters of Resignation)**
- **Administrative Files of the Clerk of the House.** This series contains mainly administrative correspondence of the Clerk of the House, who has various responsibilities for the operation of the House and its staff members. **(Bibliographic Title: Administrative Files of the Clerk of the House)**
- **Community Service Grant Records.** The purpose of the Alabama Community Service Grant Program is to advance program objectives, as specified in the Code of Alabama 1975 § 41-24-3, by awarding grants to qualified community agencies, institutions, organizations and projects within the State of Alabama. The Joint Legislative Advisory

Committee on Community Service Grants reviews applications and makes initial recommendations for consideration by the State Executive Commission on Community Service Grants. This series consists of approved grant applications, supporting documents, payment printouts, payment vouchers, and copies of checks. File folders are arranged alphabetically by names of House members and each folder contains community grant records from his/her districts. Although meeting minutes of the State Executive Commission, maintained by the State Treasurer who acts as the secretary for the commission, are preserved as documentation of this program, this series needs to be preserved as it provides supplemental information to the program activities.

(Bibliographic Title: Community Service Grant Records)

Public Information Office

- **Press Releases.** This series consists of statements or announcements concerning the House issued for distribution to the media and the public. This series needs to be kept permanently as documentation of the agency's attempt to keep the public informed.

(Bibliographic Title: State Publications)

All Offices

- **Website and Social Media Site(s).** The House has a website at www.legislature.alabama.gov/house/house.html. Information on the website includes biographies of House leaders and members, current and past House Speakers and Clerks, House district map, how to find a House member for a specific district, standing committees, rules, calendars, and House audio. This agency may also have other social media(s) that provide the public with a channel to interact with the agency. This series documents the functions of the agency and its interaction with the public. **(Bibliographic Title: Website)**

Permanent Records List

Alabama House of Representatives

Overseeing

1. Meeting Agendas, Minutes, and Packets of the House Legislative Council

Legislating

1. Dead Bills
2. Engrossed Bills
3. House Committee Files
4. House Journals, Registers, Resolutions, and Joint Resolutions

Serving:

1. Member Service Files (Database)
2. House Member Photo Gallery (Database)

Administering Internal Operations:

1. Publications
2. House Membership Binders
3. House Members' Letters of Resignation
4. Administrative Files of The Clerk of The House
5. Community Service Grant Records
6. Press Releases
7. Website and Social Media Site(s)

Alabama House of Representatives Records Disposition Authority

This Records Disposition Authority (RDA) is issued by the State Records Commission under the authority granted by the Code of Alabama 1975 § 41-13-5 and § 41-13-20 through 21. It was compiled by the Government Services Division, Alabama Department of Archives and History (ADAH), which serves as the commission's staff, in cooperation with representatives of Alabama House of Representatives. The RDA lists records created and maintained by Alabama House of Representatives in carrying out its mandated functions and activities. It establishes retention periods and disposition instructions for those records and provides the legal authority for the agency to implement records destruction.

Alabama law requires public officials to create and maintain records that document the business of their offices. These records must be protected from "mutilation, loss, or destruction," so that they may be transferred to an official's successor in office and made available to members of the public. Records must also be kept in accordance with auditing standards approved by the Examiners of Public Accounts (Code of Alabama 1975 § 36-12-2, § 36-12-4, and § 41-5-23). For assistance in implementing this RDA, or for advice on records disposition or other records management concerns, contact the ADAH Government Records Division at (334) 242-4452.

Explanation of Records Requirements

- This RDA shall govern the disposition of all records, regardless of format, created by the agency from its creation to dissolution. Please contact the staff of the Department of Archives and History before destroying any records created prior to 1940.
- This RDA supersedes any previous records disposition schedules and/or RDAs governing the retention of Alabama House of Representatives' records. Copies of superseded schedules or/and RDAs are no longer valid and should be discarded.
- The RDA establishes retention and disposition instructions for records listed below, regardless of the medium on which those records may be kept. Electronic mail, for example, is a communications tool that may record permanent or temporary information. As for records in any other format, the retention periods for e-mail records are governed by the requirements of the subfunctions to which the records belong.
- Some temporary records listed under the Administering Internal Operations subfunction of this RDA represent duplicate copies of records listed for long-term or permanent retention in the RDAs of other agencies.
- Certain records and records-related materials need not be retained as records under the disposition requirements in this RDA. Such materials include: (1) duplicate record copies that do not require official action, so long as the creating office maintains the original record for the period required; (2) catalogs, trade journals, and other publications received that require no action and do not document government activities; (3) stocks of

blank stationery, blank forms, or other surplus materials that are not subject to audit and have become obsolete; (4) transitory records, which are temporary records created for short-term, internal purposes that may include, but are not limited to: telephone call-back messages; drafts of ordinary documents not needed for their evidential value; copies of material sent for information purposes but not needed by the receiving office for future business; and internal communications about social activities; and (5) honorary materials, plaques, awards, presentations, certificates, and gifts received or maintained by the agency staff.. They may be disposed of without documentation of destruction.

Records Disposition Requirements

This section of the RDA is arranged by subfunctions of Alabama House of Representatives and lists the groups of records created and/or maintain by the agency as a result of activities and transactions performed in carrying out these subfunctions. The agency may submit requests to revise specific records disposition requirements to the States Records Commission for consideration at its regular meetings.

Overseeing

Committee Clerks Office

MEETING AGENDAS, MINUTES, AND PACKETS OF THE HOUSE LEGISLATIVE COUNCIL

Disposition: PERMANENT RECORD.

Legislating

All Offices

Duplicate/Reference Copies of Engrossed/Enrolled Bills/Resolutions and Supporting Documents (Amendments, Substitutions, and Reports, etc.)

Disposition: Temporary Record. Retain 1 year or until no longer useful.

Bills and Duplicating Office

Printed Acts (Reference Copies)

Disposition: Temporary Record. Retain 4 years.

Logbooks showing bills (after first readings) that have been retrieved by committee staff for second readings

Disposition: Temporary Record. Retain for useful life.

Records documenting public requests for copies of bills, payment, and deposits

Disposition: Temporary Record. Retain 3 years after the end of the year in which the records were created.

Logbooks of Public Requests for Bills

Disposition: Temporary Record. Retain for useful life.

Committee Clerks Office**DEAD BILLS**

Disposition: PERMANENT RECORD.

ENGROSSED BILLS

Disposition: PERMANENT RECORD.

HOUSE COMMITTEE FILES

Disposition: PERMANENT RECORD.

Enrolling and Engrossing Office**Standard Cover Letters / Messages/ Reports to Transmit Engrossed/Enrolled Bills**

Disposition: Temporary Record. Retain 1 year.

Receipt Books for the Delivery of Engrossed/Enrolled Bills

Disposition: Temporary Record. Retain 2 years.

Journal Office**House Journals, Registers, Resolutions, and Joint Resolutions**

a. ORIGINAL COPY

Disposition: PERMANENT RECORD.

b. Reference Copy

Disposition: Temporary Record. Retain for useful life.

Tab Sheets (Jimmy Sheets)

Disposition: Temporary Record. Retain until the House Journal is published.

House Voting Records

Disposition: Temporary Record. Retain 4 years.

Daily House Calendars (Regular and Special Order), First / Second Readings, Daily Activities / Status

Disposition: Temporary Record. Retain for useful life.

Serving

Member Services Office

Member Services Files

Disposition: Temporary Record. Retain 4 years after the end of the year in which the records were created.

MEMBER SERVICE FILES (DATABASE)

Disposition: PERMANENT RECORD.

HOUSE MEMBER PHOTO GALLERY (DATABASE)

Disposition: PERMANENT RECORD.

Administering Internal Operations: Managing the Agency

Clerk of the House

PUBLICATIONS

Disposition: PERMANENT RECORD.

HOUSE MEMBERSHIP BINDERS

Disposition: PERMANENT RECORD.

HOUSE MEMBERS' LETTERS OF RESIGNATION

Disposition: PERMANENT RECORD.

ADMINISTRATIVE FILES OF THE CLERK OF THE HOUSE

Disposition: PERMANENT RECORD.

COMMUNITY SERVICE GRANT RECORDS

Disposition: PERMANENT RECORD.

Public Information Office

PRESS RELEASES

Disposition: PERMANENT RECORD.

Public / House Member Requests for Information

Disposition: Temporary Record. Retain for useful life.

All Offices

WEBSITE AND SOCIAL MEDIA SITE(S)

Disposition: PERMANENT RECORD.

(ADAH staff captures and preserves the agency's website and other social media sites via a service offered by the Internet Archive [Archive It]. Check with ADAH website at www.archive-it.org/organizations/62 to ensure your agency website and social media site(s) are captured and preserved. If your agency's website and social media site(s) are not captured by the service, please contact the Government Services Division at 334-242-4452 to get them included.)

Routine Correspondence

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Administrative Reference Files

Disposition: Temporary Record. Retain for useful life.

Telephone Logs/Calendars

Disposition: Temporary Record. Retain 3 years.

Mailing Lists

Disposition: Temporary Record. Retain until superseded.

Shipping Records

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Board of Adjustment Case Files

Disposition: Temporary Record. Retain 5 years after the final disposition of the case.

Records documenting the implementation of the agency's RDA (copies of transmittals forms to Archives or State Records Center, evidence of obsolete records destroyed, and annual reports to the State Records Commission)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Copy of RDA

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the RDA is superseded.

System Documentation (hardware/software manuals and diskettes, warranties)

Disposition: Temporary Record. Retain documentation of former system 3 years after the end of the fiscal year in which former hardware and software no longer exists anywhere in the agency and all permanent records have migrated to a new system.

Service Requests

Disposition: Temporary Record. Retain until work is complete.

Administering Internal Operations: Managing Finances

Accounting Office

Records documenting the preparation of a budget request package and reporting of the status of funds, requesting amendments of allotments, and reporting program performance

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting the requisitioning and purchasing of supplies and equipment, receipting and invoicing for goods, and authorizing payment for products

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records of original entry such as journals, registers, and ledgers, and records of funds deposited outside the state treasury

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting requests for authorization from supervisors to travel on official business and other related materials, such as travel reimbursement forms and itineraries

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting payroll (e.g. pre-payroll reports, payroll check registers)

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Records documenting payroll deductions for tax purposes (including Form 941)

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Annual Equal Employment Opportunity Commission Employer Information Reports (EEO-1)

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Agency Audit Reports

Disposition: Temporary Record. Retain 6 years after end of the fiscal year in which the records were created.

Contractual records established for the purpose of services or personal property

Disposition: Temporary Record. Retain 6 years after expiration of the contract.

Records documenting the bid process, including requests for proposals and unsuccessful responses

- a. Original bid records maintained in the purchasing office of the agency for contracts over \$15,000
Disposition: Temporary Record. Retain 7 years after end of the fiscal year in which the bids were opened.
- b. Duplicate copies of bid (originals are maintained by the Division of Purchasing, Department of Finance)
Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Administering Internal Operations: Managing Human Resources

Human Resource Manager

Records documenting job recruitment

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Records documenting application for employment

Disposition: Temporary Record. Retain 1 year.

Position Classification Records

Disposition: Temporary Record. Retain 4 years after reclassification of the position.

Records documenting an employee's work history – generally maintained as a case file

Disposition: Temporary Record. Retain 25 years after separation of employee from the agency.

Records documenting a temporary employee's work history (including I-9 Forms)

Disposition: Temporary Record. Retain 3 years after date of hiring or 1 year after the employment ends, whichever is later.

Employees Administrative Hearing Files

Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency.

Records documenting the employee appeal of formal reprimands, personnel suits, demotions, transfers, or terminations

Disposition: Temporary Record. Retain 5 years following final decision.

Records documenting the State Employee Injury Compensation Trust Fund (SEICTF) Claims

Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency.

Clerk of the House

Records documenting an employee's hours worked, leave earned, and leave taken

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Records documenting sick leave donations

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Records documenting final leave status

Disposition: Temporary Record. Retain 25 years after separation of the employee from the agency.

Employee Flexible Benefits Plan Files (applications and correspondence)

Disposition: Temporary Record. Retain 6 years after termination of participation in program.

House Pages/ Intern Files

Disposition: Temporary Record. Retain for useful life.

Administering Internal Operations: Managing Properties, Facilities, and Resources

Security Office

Visitor Sign-in Logs

Disposition: Temporary Record. Retain 2 years.

Monthly Security Reports Prepared by the Security Company

Disposition: Temporary Record. Retain 2 years.

Parking Lot Assignments

Disposition: Temporary Record. Retain until superseded.

Building Card Key Assignments

Disposition: Temporary Record. Retain until superseded.

Security Camera Monitoring Recordings

Disposition: Temporary Record. Retain 6 months.

Incident/Accident Reports

Disposition: Temporary Record. Retain 15 years following incident/accident.

Clerk of the House

ANNUAL INVENTORY LISTS IN AUDITOR'S SYSTEM

Disposition: PERMANENT RECORD. Retain in office (Code of Alabama 1975 § 36-16-8[1]).

Agency Copies of Transfer of State Property Forms (SD-1)

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Property Inventory Affidavits

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Inventory Cards

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the items were removed from inventory.

Receipts of Responsibility for Property

Disposition: Temporary Record. Retain until return of item to property manager.

Records documenting the use, maintenance, insurance, and disposition of vehicles leased by the agency

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the vehicle was removed from the property inventory.

Motor Pool Vehicle Use Records

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Insurance Policies/Risk Management Records

Disposition: Temporary Record. Retain 6 years after termination of policy or membership.

Requirements and Recommendations for Implementing the Records Disposition Authority (RDA)

Under the Code of Alabama 1975 § 41-13-21, “no state officer or agency head shall cause any state record to be destroyed or otherwise disposed of without obtaining approval of the State Records Commission.” This Records Disposition Authority constitutes authorization by the State Records Commission for the disposition of the records of Alabama House of Representatives (hereafter referred to as the agency) as stipulated in the document.

One condition of this authorization is that the agency submits an annual Records Disposition Authority (RDA) Implementation Report on agency records management activities, including documentation of records destruction, to the State Record Commission in October of each year. In addition, the agency should make every effort to establish and maintain a quality record-keeping program through the following activities:

The agency should designate a records liaison, who is responsible for: ensuring the development of quality record keeping systems that meet the business and legal needs of the agency, coordinating the transfer and destruction of records, ensuring the permanent records held on alternative storage media (such as microfilms and digital imaging systems) are maintained in compliance with national and state standards, and ensuring the regular implementation of the agency’s approved RDA.

Permanent records in the agency’s custody should be maintained under proper intellectual control and in an environment that will ensure their physical order and preservation.

Destruction of temporary records, as authorized in this RDA, should occur agency-wide on a regular basis – for example, after the successful completion of an audit, at the end of an administration, or at the end of a fiscal year. Despite the RDA’s provisions, no record should be destroyed that is necessary to comply with requirements of the state Sunset Act, audit requirements, or any legal notice or subpoena.

The agency should maintain full documentation of any computerized record-keeping system it employs. It should develop procedures for: (1) backing up all permanent records held in electronic format; (2) storing a back-up copy off-site; (3) migrating all permanent records when the system is upgraded or replaced. If the agency chooses to maintain permanent records solely in electronic format, it is committed to funding any system upgrades and migration strategies necessary to ensure the records’ permanent preservation and accessibility.

Electronic mail contains permanent, temporary, or transitory record information. Although e-mail records can be printed out, filed, and retained according to the RDA’s requirements, the division should preferably employ an electronic records management system capable of sorting e-mail into folders and archiving messages having long-term value.

The staff of the State Records Commission or the Examiners of Public Accounts may examine the condition of the permanent records in the custody of the agency and inspect records destruction documentation. Government Records Division archivists are available to instruct the

agency staff in RDA implementation and otherwise assist the agency in implementing its records management program.

The State Records Commission adopted this records disposition authority on October 23, 2013.

Steve Murray, Chairman
State Records Commission

Date

Receipt acknowledged:

Jeff Woodard, Clerk of the House
Alabama House of Representatives

Date